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Express Mail Label No. ET061868801US

# UTILITY PATENT APPLICATION TRANSMITTAL

## (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
101831-163-NP

Total Pages in this Submission

76

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application  
Washington, D.C. 20231101831-163-NP  
06/26/0176  
06/26/01

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for the invention entitled:

**METHOD FOR CLASSIFYING AN INVESTMENT ITEM BY PRICE PATTERN GROUP**

and invented by:

John Ricciardi

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information: Continuation    Divisional    Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

 Continuation    Divisional    Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

 Continuation    Divisional    Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1.  Filing fee as calculated and transmitted as described below
2.  Specification having 52 pages and including the following:
  - a.  Descriptive Title of the Invention
  - b.  Cross References to Related Applications (*if applicable*)
  - c.  Statement Regarding Federally-sponsored Research/Development (*if applicable*)
  - d.  Reference to Microfiche Appendix (*if applicable*)
  - e.  Background of the Invention
  - f.  Brief Summary of the Invention
  - g.  Brief Description of the Drawings (*if drawings filed*)
  - h.  Detailed Description
  - i.  Claim(s) as Classified Below
  - j.  Abstract of the Disclosure

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**Application Elements (Continued)**

3.  Drawing(s) *(when necessary as prescribed by 35 USC 113)*
  - a.  Formal
  - b.  InformalNumber of Sheets 14
4.  Oath or Declaration
  - a.  Newly executed *(original or copy)*  Unexecuted
  - b.  Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
  - c.  With Power of Attorney  Without Power of Attorney
  - d.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.  Computer Program in Microfiche
7.  Genetic Sequence Submission *(if applicable, all must be included)*
  - a.  Paper Copy
  - b.  Computer Readable Copy
  - c.  Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8.  Assignment Papers *(cover sheet & documents)*
9.  37 CFR 3.73(b) Statement *(when there is an assignee)*
10.  English Translation Document *(if applicable)*
11.  Information Disclosure Statement/PTO-1449  Copies of IDS Citations
12.  Preliminary Amendment
13.  Acknowledgment postcard
14.  Certificate of Mailing

First Class  Express Mail *(Specify Label No.):* ET061868801US

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**Accompanying Application Parts (Continued)**

15.  Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16.  Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_
17.  Additional Enclosures *(please identify below):*

*PostCard*

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18.  Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

***Warning***

*An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.*

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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Total Pages in this Submission

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
<b>Total Claims</b>	61	- 20 =	41	x \$9.00	\$369.00
<b>Indep. Claims</b>	1	- 3 =	0	x \$40.00	\$0.00
<b>Multiple Dependent Claims (check if applicable)</b>	<input type="checkbox"/>				\$0.00
				<b>BASIC FEE</b>	\$355.00
<b>OTHER FEE (specify purpose)</b>					\$0.00
					<b>TOTAL FILING FEE</b> \$724.00

A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.

The Commissioner is hereby authorized to charge and credit Deposit Account No. 06-0923 as described below. A duplicate copy of this sheet is enclosed.

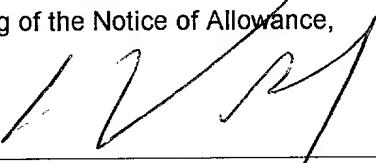
Charge the amount of \$724.00 as filing fee.

Credit any overpayment.

Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.

Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: June 26, 2001

  
Signature  
RICHARD I. SAMUEL, ESQ. (Reg. No. 24,435)

cc:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Ricciardi

Docket No.

101831-163-NP

Serial No.  
60/214,754Filing Date  
June 27, 2000

Examiner

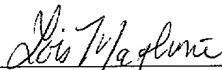
Group Art Unit

Invention: **METHOD FOR CLASSIFYING AN INVESTMENT ITEM BY PRICE PATTERN GROUP**

I hereby certify that the following correspondence:

**UTILITY PATENT APPLICATION***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231

JUNE 26, 2001*(Date)***LOIS MAGLIONE***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***ET061868801US***("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.